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ABSTRACT

The purpose of this bibliography is to help researchers and practitioners in higher education to locate relevant literature concerning the problem of linking planning with budgeting in the administration of higher education. Citations from the separate literature on planning and budgeting were selected according to how well they demonstrate the link between planning and budgeting. A total of 57 citations are provided, most dated in the 1980s, with a brief summary of the content given for each. (Author/KM)

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Linking Planning with Budgeting: An Annotated Bibliography

Richard Hurst
1984

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LINKING PLANNING WITH BUDGETING: AN ANNOTATED BIBLIOGRAPHY

The purpose of this annotated bibliography is to help higher education researchers and practitioners locate relevant literature concerning the problem of linking planning with budgeting in higher education administration.

Because there were very few references addressing the specific relationship between planning and budgeting, the development of this bibliography required a review of the literature on planning and a review of the literature on budgeting in higher education. Citations from either the planning literature or from the budgeting literature were then selected for inclusion according to how well they demonstrated, either directly or indirectly, the link between planning and budgeting.

Andrew, Lloyd D. "Involving Faculty in Planning." Planning for Higher Education 7 (February 1979):27-31.

This article critically evaluates the effectiveness of "democratic" participation vs. "coordinated, involved, and controlled" planning. Andrew recounts from experience how democratic planning often manages conflict in such a way that nothing ever gets done. It is suggested that administrators who provide technical direction will encourage useful faculty involvement.

Arns, Robert G., and Poland, William. "Changing the University Through Program Review." Journal of Higher Education 51 (1980):268-283.

Arns and Poland contend that quantitative review decisions should not be independent of qualitative judgments. Each university, and each program of that university, must first determine who it is (strategic choice), why it does what it does (goals), what it does (activities), how its members relate to one another (structure), who are the responsible members and what motivates them (people), and who decides and how (processes). The article does not deal specifically with how to translate program review judgments into budget decisions.

Baldridge, J. Victor, and Tierney, Michael L. "Techniques for Small Colleges." In Improving Academic Management, pp. 581-601. Edited by Paul Jedamus and Marvin W. Peterson. San Francisco: Jossey-Bass, 1980.

Baldridge and Tierney, using empirical evidence, demonstrate that an effective link can be made between planning and budgeting with the aid of both a Management Information System (MIS) and a program of Management by Objectives.

Bean, John P., and Kuh, George D. "A Typology of Planning Problems." Journal of Higher Education 55 (January/February 1984):35-55.

In this article the authors construct a typology of planning problems that takes the form of a simple matrix. The columns of the matrix represent four planning phases (assessment, initiation, development, and implementation) and the rows represent five organizational constructs (goals, participation, information and communication, interdependence, and resources.) Each matrix cell entry is a well-defined problem that is often encountered in planning efforts. The matrix helps planners clarify the level and scope of their problems. For example, goal-related planning problems in the initiation phase are certainly different from goal-related problems in the implementation phase, and each calls for a different type of solution. In sum, the matrix helps to conceptually organize the temporal and organizational problems of planning.

Bell, Edwin. "Administrative Planning: Science or Art?" Planning for Higher Education 7 (December 1978):12-15.

Bell reviews eight basic concepts of open systems theories in light of five proposed organizational models for higher education administration: Dual Organization, Academic Community, Political, Organized Anarchy, and Bureaucratic. He then discusses the gap between organizational development and administrative planning and the role of the planner/change agent as both artist and scientist.

Bleau, Barbara Lee. "Planning Models in Higher Education: Historical Review and Survey of Currently Available Models." Higher Education 10 (1981):153-168.

This article comprehensively summarizes the planning model literature, paying particular attention to resource allocation models (HELP/PLANTRAN, RRPM, SEARCH, CAMPUS, TRADES, and EFPM). Issues of implementation, acceptance, suitability, and effectiveness are discussed and recommendations are given. This article makes clear how planning models can help the institution recognize constraints.

Boxx, W. Randy, and Johnson, Jerry W. "An Examination of Formalized Planning as Currently Used in Institutions of Higher Learning." Planning for Higher Education 8 (Summer 1980):25-39.

This article reports the findings of a survey of the planning practices of selected colleges and universities. Boxx and Johnson develop a formalized planning model that clearly demonstrates a rational view of linking planning with budgeting. In addition, excellent lists of indicators of environmental constraints, institutional strengths and limitations, and criteria for evaluating goals and objectives are given.

Caruthers, J. Kent, and Orwig, Melvin. Budgeting in Higher Education. Washington, D.C.: AAHE-ERIC, 1979. Research Report Number 3.

This research report is the earlier expanded version of the article prepared for Improving Academic Management (see Orwig and Caruthers annotation, 1980). This report should be read second, by those who desire further explanation and elaboration.

Chaffee, Ellen Earle. Rational Decisionmaking in Higher Education. Boulder, Colo.: National Center for Higher Education Management Systems, 1983.

This book is a compact discussion of various decision processes (rational, political, collegial, bureaucratic, and organized anarchy), followed by a case study of rational decisionmaking--budgeting at Stanford University. The book does not directly

address the planning-budgeting link, but the link is implicit in the rational process. Some "how to" suggestions are offered.

Charan, Ram. "How to Strengthen Your Review Process." The Journal of Business Strategy 2 (Winter 1982):50-60.

This is an excellent article for demonstrating the importance of developing effective strategy review process in corporate management. Charan recommends six specific steps that are necessary for an effective strategy review process. In addition, Charan discusses how an effective strategy review process will lead to a strong link between planning and budgeting.

Cleland, David I., and King, William R. "Developing a Planning Culture for More Effective Strategic Planning." Long Range Planning 7 (June 1974):19-29.

Cleland and King discuss the problem of individuals who are committed more to process than they are to intention; how that posture is developed; how it is maintained; and what can be done about it.

Cochran, Nancy. "Society as Emergent and More Than Rational: An Essay on the Inappropriateness of Program Evaluation." Policy Sciences 12 (1980):113-129.

This article is recommended for those who are interested in the philosophical and theoretical underpinnings of the Planning/Budgeting process. Cochran explores "deep" structural issues, such as the importance and limitations of language, motivational relevance, and the significance of action. Another title for this article could be, "Constraints in Recognizing Constraints."

Cogan, Robert. "The Design of Budgeting Processes for State-Funded Higher Education Organizations." Journal of Higher Education 51 (1980):556-565.

In sharp contrast to Tonn's position (see annotation), Cogan contends that organizational effectiveness cannot be defined independently of organizational objectives (contradicting Tonn's conflict conclusion). The resolution of inequities should be dealt with through normative constructs within the planning-budgeting process. Cogan outlines nine normative design characteristics intended to minimize conflict, counter excesses of political behavior, restore equity, and achieve a balance of academic programs.

Dickmeyer, Nathan. "Financial Management and Strategic Planning." In New Directions for Higher Education: Successful Responses to Financial Difficulty, pp. 51-60. Edited by C. Frances. San Francisco: Jossey-Bass, June 1982.

Implicit in the discussion of linking planning with budgeting is the notion that institutional efficiency and effectiveness will increase as a result. However, establishing the link does not eliminate the problem of uncertainty. This article explores the concept of non-profit institutional risk-taking and proposes two strategies, active and passive buffers, that will increase the probability of protecting a university's core activities.

Dickmeyer, Nathan. "Balancing Risks and Resources: Financial Strategies for Colleges and Universities." American Council on Education, Economics and Finance Unit Working Paper 80-2, June 1980. (ERIC Document: ED 215 610)

This article, for the most part, is an elaborated version of the "balancing risks and resources" thesis presented later in condensed form in Dickmeyer (1982), annotated above.

Dickmeyer, Nathan. "A Systems Approach to Financial Planning for Colleges and Universities: Trade-Off Analysis." American Council on Education, Economics and Finance Unit Working Paper 80-1, March 1980.

In this article Dickmeyer presents trade-off analysis. Borrowing from economics, trade-off analysis focuses on "equilibrium points" and "opportunity costs." It can be used as a way of making planning and budgeting alternatives clear. It does not resolve problems, but it does make them understandable.

Dirsmith, Mark W.; Jablonsky, Stephen F.; and Luzi, Andrew D. "Planning and Control in the U.S. Federal Government: A Critical Analysis of PPB, MBO, and ZBB." Strategic Management Journal 1 (1980):303-329.

The authors in this article present a thorough critical analysis of PPB, MBO, and ZBB--procedures designed to increase rationality--demonstrating how management schemes that are intended to increase efficiency and effectiveness also reflect political interests and political domination.

Farmer, D. W. "Developing a Collegial Approach to Integrated Planning at a Small College: Communication, Understanding, and Cooperation." Planning for Higher Education 11 (Spring 1983): 18-24.

This article attempts to explain how a collegial and non-competitive approach to integrated planning was developed at King's College from 1978 to present. Two simultaneous

planning/budgeting shifts are of importance here. King's College shifted from a decentralized planning model to a modified centralized business planning model; while also shifting away from an emphasis on written communication towards an emphasis on oral communication. In order to ensure cooperation, it became necessary to make all persons concerned responsible for coordinating the budget planning process - a sort of planning "with" rather than planning "for" environment.

Flaig, Herbert. "The Budgetary and Planning Options for Higher Education in a Period of Contraction." Planning for Higher Education 8 (Fall 1979):20-27.

This article, using examples from Rutgers and the University of California System, attempts to show the importance of determining a university's mission and goals, providing alternate means for achieving mission and goals, and linking mission and goals with the budget in the planning process.

Gaunt, Roger N., and Haight, Michael J. "Planning Models in Higher Education Administration." Journal of Education Finance 2 (Winter 1977):305-323.

In this article it is suggested that planning models designed for higher education management should be evaluated according to certain minimal criteria; (1) simplicity (2) extent to which there is a valid and reliable data base (3) the degree of computerization and (4) generalizability. In particular, two popular models (RRPM and CAMPUS) are compared.

Halstead, D. Kent. Higher Education Planning: A Bibliographic Handbook, Volume I and Volume II. Washington, D. C.: The National Institute of Education, U.S. Department of Education, U.S. Government Printing Office, 1979 (Volume I) and 1981 (Volume II).

No administrator/planner's reference library would be complete without these two bibliographic handbook volumes. The two volumes are comprehensive, annotated bibliographies covering more than fifty major topical concerns of higher education administration and planning. For entries related to the problem of linking planning with budgeting, the reader is directed to Volume I, Chapters 14, 15, and 18, and Volume II, Chapters 29 and 31.

Hax, Arnoldo C., and Majluf, Nicolas S. "Toward the Formalization of Strategic Planning: A Conceptual Framework." Applications of Management Science 1 (1981):213-245.

Hax and Majluf present a formalized strategic business framework that is constructed for the purpose of responding to both environmental and organizational constraints. Their analysis is followed by a formulation of general action

programs and evaluation processes. Also, there is a brief discussion of the importance of ensuring commitment.

Heinlein, Abert C., Editor. Decision Models in Academic Administration. Kent, Ohio: Kent State University Press, 1973.

This book contains selected articles that were presented at the Decision Sciences in Academic Administration Conference, held at Kent State University in May, 1973. The articles are organized in two sections; (1) Management Information and Decision Systems, and (2) Simulation Models. Using several case studies, the two sections identify several internal and external institutional constraints affecting the planning/ budgeting process.

Jedamus, Paul, and Peterson, Marvin E., Editors. Improving Academic Management: A Handbook of Planning and Institutional Research. San Francisco: Jossey-Bass, 1980.

If one were to teach a graduate seminar course on the subject of linking planning with budgeting in higher education, this book would certainly be a likely candidate for required reading. The editors have carefully selected a collection of articles (some of which are cited in this bibliography) that represent six dimensions--environment, strategic planning, tactical planning, budgeting, effectiveness, and institutional research.

Jensen, Daniel R. "Unifying Planning and Management in Public Organizations." Public Administration Review 2 (March/April 1982):157-162.

This article makes the claim that the planning process can be made easy to learn, simple to manage, and applicable in a wide variety of situations. Too good to be true? Probably so. However, Jensen outlines a six-step planning process that may be helpful for maintaining attention on the essential elements in constructing a plan.

Kaludis, George. "Strategies for Budgeting." New Directions for Higher Education Series, Volume 1, Number 2. San Francisco: Jossey-Bass, Summer 1973.

This journal issue contains selected articles that suggest how to go about redesigning financial decision making processes in higher education, so that budget decisions reflect institutional mission.

Keller, George. Academic Strategy: The Management Revolution in American Higher Education. Baltimore: The Johns Hopkins University Press, 1983.

Keller's theme is the evolution of management in higher education institutions. He includes an interesting historical analysis and then focuses on current trends that he hopes are signs of major change: more active administrators, new governance forms, more open communication, more attention to planning, and others. Several chapters are devoted to strategic planning--what it is, how to prepare to do it, and the activities it requires. The book deals almost exclusively with the planning side of the planning/budgeting concept, so it does not address the issue of linking the two. However, readers will appreciate Keller's excellent writing and unusual observations, and they will find food for thought on how to manage the problem of institutional adaption (for example, Keller quotes James Bryce, "A university should reflect the spirit of the times without yielding to it").

Kieft, Raymond N., Armijo, Frank, and Bucklew, Neil S. A Handbook for Institutional Academic and Program Planning: From Idea to Implementation. Boulder, Colo.: National Center for Higher Education Management Systems, 1978.

and

Cherin, Ellen and Armijo, Frank. Supplement to the Handbook for Institutional Academic and Program Planning. Boulder, Colo.: National Center for Higher Education Management Systems, 1980.

and

Armijo, Frank, et al. Comprehensive Institutional Planning: Studies in Implementation. Boulder, Colo.: National Center for Higher Education Management Systems, 1980.

The purpose of the NCHEMS Handbook is to present a basic "cookbook" outline of instructions for formulating, proposing, implementing, appraising, and revising academic/program planning. It includes a step-by-step, month-by-month "how-to" procedure for developing and implementing plans, often using clear and simple matrices to clarify the techniques. However, the authors do not claim that users of the Handbook should try to make their plans fit into any sort of Procrustean bed. One of the concluding remarks of this handbook advises colleges and universities to proceed with planning--any planning. In addition, two supplements to the Handbook are available. The first supplement (Cherin and Armijo) provides sample procedures, data formats, and explanations that institutions can use to adapt and implement the planning processes as described in the Handbook. The second supplement (Armijo, et al.) describes the experiences of three institutions--Willamette University, Lorain County Community College, and Ohio University--in developing, implementing, and revising the planning process as described in the Handbook.

Kotler, Philip, and Murphy, Patrick E. "Strategic Planning for Higher Education." Journal of Higher Education 52 (1981):470-489.

Kotler and Murphy define strategic planning as the process of developing and maintaining a strategic fit between the organization and its changing market opportunities. Using terms such as "threats," "opportunities," "penetration," "viability," "portfolios," and the like, it is suggested that higher education strengths should only be assessed in accordance with a total market orientation. The approach is better suited to business firms than to most higher education institutions.

Lee, Sang M. and Van Horn, James C. Academic Administration: Planning, Budgeting, and Decision Making with Multiple Objectives. Lincoln, Neb.: University of Nebraska Press, 1983.

As its title suggests, this book deals with the administration of academic programs. The authors discuss in the introductory chapter the concepts of planning, budgeting, and their integration. Most of the book deals with "goal programming for administration by objectives," based largely on the principles of rational decisionmaking. It describes the variables and mathematics needed to engage in goal programming, which may be useful for academic planners who want quantitative assistance in dealing with multiple constraints and values.

Lorange, Peter. "Formal Planning Systems: Their Role in Strategy Formulation and Implementation." In Strategic Management. Edited by Dan E. Schendel and Charles W. Hofer. Boston: Little, Brown and Company, 1979:218-248.

Lorange presents an excellent review of the empirical research on formal planning systems. He concludes that formal planning systems have been very successful when they have been "tailored" to the strategic setting. Citing several reasons why formal planning may fail, he proposes a contingency-based theory of formal planning that addresses the critical issues of strategy implementation.

Lozier, George G., and Althouse, Richard P. "Developing Planning and Budgeting Strategies for Internal Recycling of Funds." Research in Higher Education 18 (1983):237-250.

This article is the condensed version of a paper presented by the authors at the 1982 AIR Forum (see Lozier and Althouse annotation, 1982).

Lozier, Gregory G., and Althouse, Richard P. "Supporting Quality Through Priority Setting and Reallocation." Paper presented at the 1982 AIR Forum, Denver, Colorado, May 16-19, 1982. (ERIC Document: ED 220 053)

In this article, Lozier and Althouse examine the relative success of Penn State's five-year planning and budgeting process. They point out that after several unsuccessful years of attempting across-the-board cuts, it became apparent that differentially applied cuts were needed to maintain quality. The new plan adopted by Penn State (called the "five-year rolling plan") emphasized three themes--quality, selectivity, and flexibility. Based on the experience of Penn State, the authors list "general" recommendations for other colleges and universities.

Lyles, Marjorie A., and Lenz, R. T. "Managing the Planning Process: A Field Study of the Human Side of Planning." Strategic Management Journal 3 (1982):105-118.

In this article Lyles and Lenz direct their attention towards an often overlooked pragmatic problem of the planning process-implementation. Implementation is viewed as an extended phase of the planning/budgeting process, not merely as a desired end result. The authors identify several "behavioral problems" that impede implementation and reduce the effectiveness of the planning/budgeting process. They report findings from their own research that indicate (1) certain behavioral problems impeding implementation do exist, (2) behavioral problems vary in magnitude (measured by frequency of observed occurrence), and (3) behavioral problems have an impact on the effectiveness of the planning/budgeting process. A discussion of the relationships among causes, problems, and symptoms of human behavior during the planning process is given.

Lynn, Laurence E., and Seidl, John M. "Bottom-Line Management for Public Agencies." Harvard Business Review 55 (Jan/Feb 1977):144-153.

Lynn and Seidl discuss, from experience, the U.S. federal management system CAMS (Cooperative Agency Management System) and its six objectives. Unlike its predecessor PPBS (Planning-Programming-Budgeting System), the authors point out that CAMS is based on the realistic premise that decision making in the public sector is essentially political. They show how CAMS ensures commitment through cooperation, and, more importantly, how to procure cooperation.

Mehallis, Mantha. "Improving Decision Making." New Directions for Community Colleges Series, No. 35. San Francisco: Jossey-Bass, September 1981.

This journal issue contains selected articles developed around the contention that effective decision making is dependent upon

the utilization of accurate and timely information. Essentially, the articles demonstrate the importance of finding and using information, from the federal and state policy level to the institutional student information level.

Micek, Sidney S. Integrating Academic Planning and Budgeting in a Rapidly Changing Environment. Boulder, Colo.: National Center for Higher Education Management Systems, 1980.

The proceedings of a 1979 conference of administrators on the subject of linking planning with budgeting is summarized in this volume, with articles by administrators, one or two articles borrowed from more theoretical contexts, and summaries of the conference discussions on three topics--links between long-range planning and short-range budgeting, relating program review and evaluation to academic planning, and improving communication and participation in the planning and budgeting processes. Case studies are offered on the linking process, zero-based budgeting, and the failure of a management information system.

Mintzberg, Henry. "What is Planning Anyway?" Strategic Management Journal 2 (1981):319-324.

Mintzberg offers a brief reply to the claim of two other authors that Mintzberg believes managers do not plan. Instead, Mintzberg claims that we have no empirically based definition of planning--that is, what managerial behavior constitutes planning? After considering three other possible defintions, Mintzberg settles on planning as programming, or articulating the steps involved in achieving a vision of the future. The vision, he says, does not come from planning. So "when the organization lacks a leader with vision, planning will degenerate into the extrapolation or adaptation of its old strategies, or perhaps those of its competitors" (p. 323). This brief article provokes thought about what planners do, or should do.

Moore, John W. "Pragmatic Considerations in Academic Planning." Planning for Higher Education 5 (December 1976):3-5.

In this article John Moore recounts the University of Vermont's experience of planning under conditions of adversity. He outlines ten general principles that were "rediscovered" as a valuable planning framework. The principles may be viewed as the core issues associated with the problems of planning review and institutional adaptability.

Orwig, Melvin D., and Caruthers, J. Kent. "Selecting Budget Strategies and Priorities." In Improving Academic Management, pp. 341-363. Edited by Paul Jedamus and Marvin W. Peterson. San Francisco: Jossey-Bass, 1980.

No other article in this bibliography comes closer to an in-depth, comprehensive examination of the problem of linking

budgeting with planning as this one does. While claiming to focus on the issues of budgeting, the authors deliver much more. Orwig and Caruthers' discussion of budget priorities, the budget process, and the major approaches to budgeting is always in relationship to the consequences for planning. This is not only a must read article, but an excellent starting point for examining the problem of linking planning with budgeting. (See also annotation for Caruthers and Orwig, above.)

Poland, William, and Arns, Robert G. "Characteristics of Successful Planning Activities." Planning for Higher Education 7 (December 1978):1-6.

Based on the experience of The Ohio State University and a number of other institutions, Poland and Arns identify several factors that lead to dissatisfaction in the planning process. They contend that a review process that avoids these factors will not guarantee success, but will help avoid failure.

Premchand, A. "Government Budget Reforms: An Overview." Public Budgeting and Finance (Summer 1981):74-85.

Premchand outlines a historical chronicle of events that reveals the cumulative character of budget reform strategies. From the 19th century themes of accountability, the 1930's problems of balanced budgeting, the 1950's focus on performance budgeting, the 1960's challenge of growth controlled budgeting, to the 1970's creation of technology controlled budgeting (e.g., ZBB and PPBS), Premchand shows that budgetary reform movements have been cumulative, adaptive, and creative in response to different sets of problems.

Richardson, Richard C., and Gardner, Don E. "Avoiding Extremes on the Planning Continuum." Journal of Higher Education 54 (1983):180-192.

Richardson and Gardner discuss how external constraints, in particular imposed comprehensive planning, consume significant amounts of administrative time and other resources. As an alternative, adaptive planning is recommended.

Ringle, Philip M., and Savickas, Mark L. "Administrative Leadership: Planning and Time Perspective." Journal of Higher Education 54 (1983):650-661.

Ringle and Savickas suggest that planning activities require "subjective time management." Planning and budgeting should adopt a balanced perspective that (1) is grounded in the present, (2) shows continuity with an institution's past, and (3) is subjectively linked with the future. Through such a perspective, shared understanding of their institution's past, present, and possible future events or circumstances. In turn, a balanced time perspective prevents administrative leaders from dwelling too much on the past (things that can't be

changed), being overly concerned with managing the present (ignoring the institution's past and future), and aimlessly dreaming about the future (ignoring the immediate needs of the institution's present.)

Rose, Homer C., and Hample, Stephen R. "Planning Faculty Reduction." Administrator's Update 4 (Winter 1982):1-6.

In an interesting way, this article manifests several dimensions of linking planning with budgeting in its discussion of a specific case problem--the planning of faculty reduction.

Schick, Allen, and Hatry, Harry. "Zero Base Budgeting: The Manager's Budget." Public Budgeting and Finance 2 (Spring 1982):72-87.

This article summarizes the principle findings of a study on zero base budgeting. The study of zero base budgeting (ZBB) in four cities and four states found no evidence that ZBB improves efficiency--all budget reforms were due to non-ZBB factors. ZBB promises change but delivers continuity. However, the evidence also suggests that ZBB encourages the development of improved information systems. (See also the annotation for Wetherbe and Montanari.)

Shank, John K.; Niblock, Edward G.; and Sandalls, William T. "Balance 'Creativity' and 'Practicality' in Formal Planning." Harvard Business Review (Jan/Feb 1973):87-95.

Linking planning with budgeting is certainly important. Once they are linked, we somehow feel compelled to make that link as tight and as strong as possible. This article discusses the strength of weak links. Briefly, weak links encourage creativity and strong links encourage practicality. On the other hand, weak links discourage practicality and strong links discourage creativity. The authors attempt to show how these mutually desired, but contradictory, ends can be achieved through "balanced" formal planning.

Shirley, Robert C., and Volkwein, J. Fredericks. "Establishing Academic Program Priorities." Journal of Higher Education 49 (1978):472-488.

In this article, Shirley and Volkwein contend that there is no precise algorithm to link the priority setting and budgeting processes; the link problem defies quantification. Instead, the link problem is one of matching mission with external factors and internal strengths and capabilities.

Stevenson, Mike, and Walleri, R. Dan. "Budget Unit Analysis in an Era of Retrenchment: The Interface Between Financial Planning and Program Evaluation." Paper presented at the AIR Forum, 1980. (ERIC Document: ED 189 933)

This paper describes step by step how a particular community college went about making institution wide budget analysis. Using modified versions of TIP (Technical Information Package), IEP (Information Exchange Procedures), and PAD (Program Assessment Document), the college created its own program called PME (Planning Management Evaluation). This is a good article for demonstrating the importance of mission, planning assumptions, introspection, and adaption.

Thomas, Kenneth. "Conflict and Conflict Management." In Handbook of Industrial and Organizational Psychology. Edited by Marvin D. Dunnette. Chicago: Rand McNally College Publishing Co., 1976:889-935.

This review of the literature on conflict and conflict management synthesizes theory and research, yielding two models of conflict: a process model and a structural model. Helpful hints for managing conflict are scattered throughout the article, but its major purpose is to provide a state-of-the-art report for researchers.

Tonn, Joan C. "Political Behavior in Higher Education Budgeting." Journal of Higher Education 49 (1978):575-587.

This article explores the political power dimension in determining higher education budgets. Although political behavior is typically viewed as an organizational dysfunction, Tonn contends that functional or dysfunctional political behavior depends on whether behavior assists or deters the organization in attaining its goals. This is a good article for showing that conflict management does not simply mean the reduction or elimination of conflict.

Wetherbe, James C., and Montanari, John R. "Zero Based Budgeting in the Planning Process." Strategic Management Journal 2 (1981):1-14.

Contrary to the results presented by Schick and Hatry (see annotation), the lack of effectiveness using zero based budgeting (ZBB) is a problem of integrating ZBB into the planning process. Data are presented to support the contention. This article should be read along with the Schick and Hatry article.

Wildavsky, Aaron. Budgeting: A Comparative Theory of Budgetary Processes. Boston: Little, Brown and Company, 1975.

Wildavsky provides a theory of budgeting that suggests different processes will occur, depending on whether the organization is rich or poor, and whether its resources are certain or uncertain. The processes are incremental, repetitive, supplemental, and revenue budgeting. He illustrates the theory with case studies of national governments (Great Britain, France, Japan, the United States, and others). His philosophy of the political nature of budgeting (see the following annotation) is evident throughout. The book is interesting reading, but not directly applicable to higher education. Its major value is to suggest how people and processes are affected by changes in wealth and certainty.

Wildavsky, Aaron. The Politics of the Budgetary Process. Boston: Little, Brown and Company, 1979.

"Budgets are planned. . .by mutual adaptation," is Wildavsky's stated theme in this book. Wildavsky eschews rationality entirely, criticizing MBO, PPBS, and ZBB in chapter 6. Using the federal government as his case, Wildavsky portrays budgets as intended behavior, highlighting their inherently conflict-ridden, political nature--a nature that Wildavsky celebrates. Higher education administrators may find ideas for managing conflict here, and they will certainly find that colleges are not the most non-rational organizations around.

Zemsky, Robert; Porter, Randall; and Oedel, Laura P. "Decentralized Planning: To Share Responsibility." Educational Record (Summer 1978):229-253.

Centralized management and organizational complexity do not mix. This is the lesson learned by the University of Pennsylvania resulting from a five-year experiment in decentralized management and planning. The authors describe the advantages and disadvantages of decentralized management and planning, and show that broad-based participation, if responsibility is shared, can lead to greater commitment among participants.

Working Papers

The NCHEMS working papers are directed primarily to researchers in higher education. These papers cover a broad range of subjects and treat them at various depths. The authors present these studies as progress reports, designed not so much to give a comprehensive view of their subjects as to stimulate further research and commentary by the research community. The papers vary in length from 12 to 70 pages.

The papers are of three types: research in progress, background information on a specific topic, and bibliographic studies.

Formula Budgeting for Higher Education: State Practices in 1979-80 (1982)

By Francis M. Gross

The variety of formulas used by states in budgeting requests is analyzed and graphically presented according to functional areas.

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By Marilyn McCoy

This report examines factors affecting the utility of the HEGIS finance data, the process of collecting and using the data, roles and responsibilities of those involved in the process, and steps for improving the usefulness of the data.

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State Reporting Practices and the Quality of HEGIS Finance Data (1982)

By Jane N. Ryland

Variations in reporting practices among states and the significance of these variations for the researcher are examined.

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Impact of Health Programs on Instructional Expenditures in Higher Education (1982)

By John D. Smith

Through a specific example using regression analysis to compare instructional costs of health professional programs, this paper shows how HEGIS data can be used to compare institutions despite complications caused by program mix.

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The Many Faces of Quality (1984)

By Ellen Earle Chaffee

This address, which was presented at the faculty and staff orientation day for the Community Colleges of Spokane, Washington, asks how quality can be improved at different levels in the institution. It emphasizes the importance of a shared sense of purpose and suggests a list of "do's and don'ts" which is based on both existing research and new studies of successful managers.

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By Jack Y. Krakower

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By Jack Y. Krakower

This paper describes the character and level of financial support for research which is being carried out nationally today on topics pertaining to higher education.

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Linking Planning with Budgeting: An Annotated Bibliography (1984)

By Richard Hurst

The purpose of this bibliography is to help researchers and practitioners in higher education to locate relevant literature concerning the problem of linking planning with budgeting in the administration of higher education. Citations from the separate literatures on planning and budgeting were selected according to how well they demonstrate the link between planning and budgeting.

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Organizational Effectiveness: A Bibliography Through 1981 (1982)

By Kim S. Cameron with the assistance of Renee de Alba

This bibliography limits the concept "organizational effectiveness" so that the unit of analysis is the organization, not the individual. Notations included are drawn from the literature pertaining to organizational sciences, higher education, public administration, business policy, applied psychology and applied sociology. Special emphasis is given to the higher-education literature on organizational effectiveness.

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Bibliography on Decline and Retrenchment (1984)

By Raymond F. Zammuto

The conditions facing many public and private organizations require that frameworks for management under conditions of adversity be fully developed. Drawing from various literatures, including the literatures about organizational science, higher education and public administration, this bibliography makes available the most relevant research on decline and retrenchment in higher education.

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A Bibliography on Strategic Management (1985)

By Ellen Earle Chaffee

This bibliography of materials on strategic management was compiled using several criteria for inclusion. A work was included if it (1) provided introductory information on a variety of subtopics within strategic management; (2) showed signs of becoming a classic, in that it was frequently cited by other authors in the area; (3) dealt specifically with the adaptation of an organization to changes in its external environment; or (4) related strategic management concepts to institutions of higher education. Additionally, there was some effort made to include works about strategic management as it relates to decline and recovery from decline.

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